

# Exhibit C

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1 UNITED STATES DISTRICT COURT  
2 SOUTHERN DISTRICT OF NEW YORK

3 UNITED STATES OF AMERICA,

New York, N.Y.

4 v.

Cr. (KBF) (RWL)

5 BRIAN SWEET,

6 Defendant.

7 -----x  
8 January 5, 2018  
9 11:45 a.m.

10 Before:

11 HON. ROBERT W. LEHRBURGER,

12 Magistrate Judge

13  
14 APPEARANCES

15 GEOFFREY S. BERMAN

Interim United States Attorney for the  
Southern District of New York

16 BY: JESSICA GREENWOOD

17 AMANDA K. KRAMER

REBECCA G. MERMELSTEIN

18 Assistant United States Attorneys

19 ORRICK, HERRINGTON & SUTCLIFFE, LLP

Attorneys for Defendant

20 BY: ANDREW J. MORRIS

21 RICHARD MORVILLO

I155sweP

1 THE COURT: Mr. Sweet, with respect to Count One of  
2 the information how do you plead; guilty or not guilty?

3 THE DEFENDANT: Guilty.

4 THE COURT: And with respect to Count Two of the  
5 information, how do you plead; guilty or not guilty?

6 THE DEFENDANT: Guilty, your Honor.

7 THE COURT: Can you please tell me in your own words  
8 what it is that you did in violation of the law?

9 THE DEFENDANT: From at least in or about April 2015  
10 up to and including in or about February 2017, I and others,  
11 willfully and knowingly, agreed and did obtain, share, and use  
12 confidential information from the PCAOB in order to affect  
13 PCAOB inspection outcomes which are, in turn, reported to the  
14 SEC. The PCAOB transmits inspection reports to the SEC which  
15 uses those inspection reports to carry out its regulatory  
16 oversight and enforcement functions. In connection with these  
17 crimes, I and others used e-mail and telephones across state  
18 lines.

19 THE COURT: When you committed these acts, did you  
20 know that they were illegal and in violation of law?

21 THE DEFENDANT: I did not have an understanding of  
22 that at the time, your Honor, but I do understand that now.

23 THE COURT: And where did you commit these acts?  
24 Where were you when you committed them? In general, geographic  
25 area.